02-09-0



Please type an "+" inside this box +

UTILITY **PATENT APPLICATION TRANSMITTAL** 

Attorney	Docket No.	4034-57	Ţ			
First Inventor		Lawrence P. Shields et al.	14.			
Title	System for Execution of Trades Made Pursuant to S					

nuc		Option and Purchase Plans						
xpress	Mail Lahel No	EL650348143LIS	9					

APPLICATION ELEMENTS  See MFEP chapter 690 concerning utility patent application contents    ADDRESS TO:	(Only for new fic	onprovisional applications under 37 CFR 1.53(b))	,		4.07					
See MFEP chapter 600 concerning ubtility patent application contents	,	APPLICATION ELEMENTS	ADDRESS TO:							
Computer Program (Appendix)	See MPEP cha	pter 600 concerning utility patent application contents								
Brief Summary of the Invention Brief Description of the Drawings (if filed) Detailed Description Claim(s) Abstract of the Disclosure  4. ☑ Drawing(s) (35 U S.C. 113)	(Submit an  2. Applica See 37  3. Specific (preferred a - Descrip - Cross F - Statem - Refere compu	original, and a duplicate for fee processing)  Int claims small entity status.  CFR 1.27  Cation [Total Pages 39]  Introduction arrangement as set forth below)  Introduction References to Related Applications  Interpretation Regarding Fed sponsored R & Definition R &	Computer Program (Appendix)  8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  a. Computer Readable Form (CRF)  b. Specification Sequence Listing on:  I CD-ROM or CD-R (2 copies); or  ii paper							
- Detailed Description - Claim(s) - Abstract of the Disclosure  4.  Drawing(s) (35 U S.C. 113)    Total Sheets   24  5. Oath or Declaration   Total Pages   1			ACCOMPANYING APPLICATION PARTS							
18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:    Continuation   Divisional   Continuation-in-part (CIP)   of prior application No:	- Detailed - Claim(s - Abstract  4. Drawing(  5. Oath or Declate - Newly - Copy (for cooling)	d Description  it of the Disclosure  (s) (35 U S.C. 113) [Total Sheets 24]  aration [Total Pages ]  reexecuted (original or copy)  from a prior application (37 CFR 1.63(d))  intinuation/divisional with Box 18 completed)  DELETION OF INVENTOR(S)  Signed statement attached deleting inventor(s)  named in the prior application, see 37 CFR  1 63(d)(2) and 1 33(b)	10. 37 CFR 3.73(  (when there is a  11. English Trans  12 Information D  Statement (ID  13. Preliminary A  14. Return Recei  (Should be specified Copy  (if foreign priom  16. Request and  (b)(2)(B)(i). A	(b) Statement an assignee) slation Document visclosure OS)/PTO-1449 mendment pt Postcard (MPt cifically itemized) y of Priority Docuty is claimed) Certification und Applicant must at	Power of Attorney (if applicable) Copies of IDS Citations  EP 503) Imment(s) er 35 U.S.C. 122					
18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:    Continuation   Divisional   Continuation-in-part (CIP)   of prior application No:	6. M Applica	ation Data Sneet. See 37 CFR 1.76			a					
Customer Number or Bar Code Label	amendment, or in Continual Prior applicate For CONTINUATION Under Box 5b, is	8. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:  Continuation  Divisional  Continuation-in-part (CIP)  Group Art Unit  Group Art Unit  Or CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied ander Box 5b. is considered a part of the disclosure of the accompanying continuation or divisional application, and is bereby incorporated by								
Leslie Gladstone Restaino, Esq.  Riker, Danzig, Scherer, Hyland & Perretti LLP  Headquarters Plaza  Address One Speedwell Avenue  City Morristown State NJ Zip Code 07962  Country USA Telephone 973-538-0800 Fax 973-359-0984  Name (Print/Type) Leslie Gladstone Restaino, Esq. Registration No. (Attorney/Agent) 38,893		19. CORRESPO	DENCE ADDRESS	·········						
Leslie Gladstone Restaino, Esq.  Riker, Danzig, Scherer, Hyland & Perretti LLP  Headquarters Plaza  Address One Speedwell Avenue  City Morristown State NJ Zip Code 07962  Country USA Telephone 973-538-0800 Fax 973-359-0984  Name (Print/Type) Leslie Gladstone Restaino, Esq. Registration No. (Attorney/Agent) 38,893										
City Morristown State NJ Zip Code 07962 Country USA Telephone 973-538-0800 Fax 973-359-0984  Name (Print/Type) Leslie Gladstone Restaino, Esq. Registration No. (Attorney/Agent) 38,893		Leslie Gladstone Restaino, Esq. Riker, Danzıg, Scherer, Hyland & Perretti LLP Headquarters Plaza	V V V V V V V V V V V V V V V V V V V	0.0000834						
Country USA Telephone 973-538-0800 Fax 973-359-0984  Name (Print/Type) Leslie Gladstone Restaino, Esq. Registration No. (Attorney/Agent) 38,893	City		NJ	Zin Code	07962					
Simple 16.4 d d d 3 d				<del></del>						
Signature Desce Clarifore Restoring Date February 8, 2001	Name (Print/Typ	Leslie Gladstone Restaino, Esq.	Registration No. (A	ttorney/Agent)	38,893					
	Signature	Desles glacktore Restoring	Date		February 8, 2001					

The state of the s

		Under t	he Pap	erwork Reduction	on Act of	1995, no persons an	e required	i Oi	espond	to a con	ection of	Complete i	if Known		
		E E	:= T	DANSM	ΙΤΤΔ	I	Apr	olic	ation N	lumber		Complete	, Kilowii		
for FY 2001  Patent fees are subject to annual revision										2201					
								Filing Date First Named Inventor				Lawrence P Shields et al			
Patent fees are subject to annual revision  Small Entity payments must be supported by a small entity statement otherwise large entity fees must be paid. See Forms PTO/SB/09-12 See 37 C.F.R. § 1.27 and 1.28  TOTAL AMOUNT OF PAYMENT (\$) 1,868.00  METHOD OF PAYMENT(check one)  1.   The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:  Deposit Account Number  Deposit Account Name  Riker, Danzig, Scherer, Hyland & Perretti LLP  Charge Any Additional Fee Required Under 37 C F R § 1 16 and 1.17  2.   Payment Enclosed								am	iner Na	ıme					
other	wise la	arge ent	ity fee: See 37	s must be paid. ' C.F.R. § 1.27 a	. See Foi and 1.28	rms PTO/SB/09-12	Gro	oup	Art U	nit					
TOTA	L AM	OUNT	OF PA	YMENT	(\$)	1,868.0	o Att	Attorney Docket Number 4034-57							
		METI	IOD C	F PAYMENT	(check o	one)					FEE	CALCULAT	ION (continued)		
I. 🛛 TI	he Co	mmıssi d credii	oner is	s hereby authover payments	orized to	charge indicated	j 3 A	Di	DITION	AL FE	ES				
Deposit Account	_			, and a second			Lar Fe Co	e		Small Fee Code	Entity Fee (\$)	Fee	e Description		Fee Paid
•	Г	Dilean I	200710	Caboror Hy	dand & E	Perretti I I P	105		130	205	65	Surcharge - I	ate filing fee or oa	ith	
	Ĺ	Cha	arge A	ny Additional	Fee Rec		127		50	227	25	•	ate provision filing	⊢	
		37 (	J F R	§ 1 16 and 1.	. 17		139	}	130	139		Non-English			
2. P			osed	Money Or	der [	] Other	147	7	2,520	147	2,520	For filing a re			
			FE	E CALCULAT	TION		112	2	920**	112	920**	Requesting properties to Examiner	oublication of SIR action	prior	
1. BASIC							110	3 1	1,840**	113	1,840**	Requesting   Examiner ac	publication of SIR tion	after	
	ee	Small   Fee Code	Entity Fee (\$)	Fee Descri	iption	Fee Paid	11!	5	110	215	55	Extension fo month	r reply within first		
	710	201		Utility filing fe	е [	710 00	110	3	380	216	190	Extension for month	r reply within sec	ond	İ
	320	206	160	Design filing	. 1		111	7	870	217	435		or reply within third		
107	490	207	245	Plant filing fe	e		11:	8	1,360	218	680		or reply within four	th	
108	710	208	355	Reissue filing	g fee		12	8	1,850	228	925	Extension for month	or reply within fifth		
114	150	214	75	Provisional f	iling		11	9	300	219	150	Notice of Ap	ppeal		
				.00	,		12		300	220	150		f in support of an a	appeal	
			SUBT	OTAL (1)	(\$)	710 00	12 13		260 1,510	221 138	130 1,510		oral hearing istitute a public us	se	
											·	proceeding		.  -	
2. EXTR	A CL	AIM FE	ES	Extra	Fee Fro	m Fee Paid	14		110	240	55		evive - unavoidabl	Γ	
				Claims	below		_ 14		1,210	241	605		evive - unintention	al	
Total Cla Independ	ı	33	20*:		18	_	_		1,210	242	605	•	fee (or reissue)	f	
Claims		15	3*:	= 12 X	80	9000	'"		430	243	215	Design issu			
Multiple * or num	Deper	ndent	ly naid	l if greater E	or Reiss	sues, see below			580 130	244 122	290 130	Plant issue Petitions to	tee the Commissione	,	
Large E				y .		scription	12		50	123	50	Petitions re	lated to provisiona	al	
Code 103	<b>(\$)</b> 18	Code 203	( <b>\$</b> )	Claims in ex	cess of	20	12	26	240	126	240	• •	of Information	ļ	
102	80	202	40			in excess of 3	58	31	40	581	40	Recording	each patent assigi y (times number o	nment if	
104	270	204	135	Multiple der	endent	claım	14	16	690	246	380	Filing a sub	mission after final 7 CFR 1 129(a))		
109	80	209	40	*Reissue in	depende	ent claims over or	riginal 14	49	690	249	380	For each a	dditional invention 37 CFR 1 29(b)	to be	
110	18	210	9			excess of 20 and			er fee				· · · · · · · · · · · · · · · · · · ·	-	
				SUBTOTAL	(2)	\$) 1,158 (	— I		er fee Reduc		-	ling Fee Paid	SUBTOTAL	(3)	(\$)
		D 000											Complete (if app	licable)	
SUB! Name		nRλ			_				Registra			0 002			38-0800
(Print	Type)	<u> </u>	Le	slie Gladstone	1 1	./	1		Attorne	ey/Ager	1 <i>t)</i>   3	8,893	Telephone	710	1200
Signa	ture		1	nous.	Lade	stole Kal	teini	_					Date	40	1201

WARNING
Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Lawrence P. Shields, et al.

Attorney Docket No.:

4034-57

For:

SYSTEM FOR EXECUTION OF TRADES MADE

PURSUANT TO STOCK OPTION AND PURCHASE PLANS

Headquarters Plaza One Speedwell Avenue Morristown, N.J. 07962 February 8, 2001

Box Patent Application Assistant Commissioner of Patents Washington, D.C. 20231

Sir:

## **CERTIFICATION**

I hereby certify that this paper, bearing Express Mailing Label No. EL650348143US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

ngela L. Gehring

(Mailer)